



Receipt

PATENT  
Customer No. 22,852  
Attorney Docket No. 7451.0001-17  
InterTrust Ref. No.: IT-5.3.1.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
Karl L. Ginter, et al. ) Group Art Unit: 2132  
Serial No.: 09/764,370 ) Examiner: Not Yet Assigned  
Filed: January 19, 2001 )  
For: SYSTEMS AND METHODS FOR )  
SECURE TRANSACTION )  
MANAGEMENT AND ELECTRONIC )  
RIGHTS PROTECTION )

RECEIVED  
OCT 23 2001  
Technology Center 2100

OFFICE OF INITIAL PATENT EXAMINATION  
Commissioner for Patents and Trademarks  
Washington, DC 20231

Sir:

REQUEST FOR CORRECTED FILING RECEIPT

We enclose a copy of an Official Filing Receipt that was received from the U.S. Patent and Trademark Office. The Receipt has been reviewed and the following error has been found. The address of inventor David M. Van Wie should read "Eugene, OR" as shown below:

**David M. Van Wie, Eugene, OR**

We enclose a copy of the Filing Receipt with the requested changes in red. We also enclose a copy of the Response to Notice to File Missing Parts and Declaration and Power of Attorney as filed on July 20, 2001. In the Response, Applicants made note that the Declaration filed in the immediate parent was filed to update the inventor addresses. In this Declaration, David M. Van Wie's address is correctly listed as Eugene, OR. Applicants therefore respectfully request that a corrected Filing Receipt be issued as soon as possible.

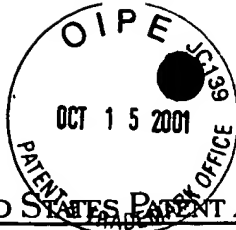
Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

By: Linda J. Thayer  
Linda J. Thayer  
Reg. No. 45,681

Dated: October 11, 2001

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/764,370	01/19/2001	2132	1602	7451.0001-17	146	49	6

CONFIRMATION NO. 9046

22852

FINNEGAN, HENDERSON, FARABOW, GARRETT &  
DUNNER LLP1300 I STREET, NW  
WASHINGTON, DC 20005

UPDATED FILING RECEIPT



\*OC000000006836188\*

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Technology Center 2100

Date Mailed: 10/03/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Karl L. Ginter, Beltsville, MD;  
Victor H. Shear, Bethesda, MD;  
Francis J. Spahn, El Cerrito, CA;  
David M. Van Wie, Sunnyvale, CA;  
*Eugene, OR;*

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OCT 5 2001

## Assignment For Published Patent Application

InterTrust Technologies Corp., Santa Clara, CA;

FINNEGAN, HENDERSON, FARABOW,  
GARRETT AND DUNNER, LLP

## Domestic Priority data as claimed by applicant

THIS APPLICATION IS A CON OF 09/335,465 06/17/1999 PAT 6,237,786  
WHICH IS A CON OF 08/780,393 01/08/1997 PAT 5,915,019  
WHICH IS A DIV OF 08/388,107 02/13/1995 ABN

## Foreign Applications

If Required, Foreign Filing License Granted 04/27/2001

Projected Publication Date: 01/10/2002

Non-Publication Request: No

Early Publication Request: No

*Oct 10-05-01 02:00*



PATENT  
Customer No. 22,852  
Attorney Docket No.: 7451.0001-17  
InterTrust Ref. No.: IT-5.3.1.1 (US)

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In re Application of: )  
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Karl L. GINTER, et al. ) Group Art Unit: 2132  
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Serial No.: 09/764,370 ) Examiner: Unassigned  
)  
Filed: January 19, 2001 )  
)  
For: SYSTEMS AND METHODS FOR )  
SECURE TRANSACTION )  
MANAGEMENT AND ELECTRONIC )  
RIGHTS PROTECTION )

Attention: **BOX MISSING PARTS**  
Assistant Commissioner for Patents  
Washington, DC 20231

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OCT 23 2001  
Technology Center 2100

Sir:

**RESPONSE TO NOTICE TO FILE  
MISSING PARTS OF APPLICATION**

In response to the Notice to File Missing Parts dated April 27, 2001, the period for response having been extended by the accompanying request for extension and payment of extension fee, applicants submit for filing in this application two Declarations/Powers of Attorney, a Revocation of Power of Attorney and Grant of New Power of Attorney, a substitute specification and substitute drawings, the required fee of \$130.00, a one-month extension fee of \$110.00, and a copy of the Notice to File Missing Parts.

The present application is a continuation of Ser. No. 09/335,465, filed June 17, 1999 (now U.S. Pat. No. 6,237,786) [hereinafter "the immediate parent"], which is a continuation of Ser. No. 08/780,393, filed January 8, 1997 (now U.S. Pat. No. 5,915,019), which is a divisional of Ser. No. 08/388,107, filed February 13, 1995 [hereinafter "the parent application"]. As stated above and in an abundance of caution, applicants are submitting copies of two Declarations: the Declaration filed in the immediate parent application and the Declaration filed in the parent application.

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The Declaration filed in the immediate parent application was newly executed to acknowledge the change in the power of attorney and update the address of the one of the inventors. For completeness, applicants are also submitting a copy of the original Declaration from the parent application. However, because this Declaration had given power of attorney to Nixon & Vanderhye, P.C., applicants are now filing concurrently herewith a Revocation of Power of Attorney and Grant of New Power of Attorney granting power to the undersigned and the firm of Finnegan, Henderson, Farabow, Garrett & Dunner, L.L.P.

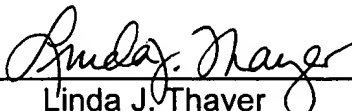
Applicants submit that, alone or together, these two Declarations satisfy the requirements of 37 C.F.R. § 1.63 and document the client's intent to have the power of attorney vested in Finnegan, Henderson, Farabow, Garrett & Dunner, L.L.P.

Please associate the enclosed papers with the application, grant any extensions of time required to enter this response, and charge any additional required fees to our deposit account 06-0916.

Respectfully submitted,

FINNEGAN, HENDERSON, FARABOW,  
GARRETT & DUNNER, L.L.P.

Dated: July 20, 2001

By:   
Linda J. Thayer  
Reg. No. 45,681

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Bib Data Sheet

CONFIRMATION NO. 9046

<b>SERIAL NUMBER</b> 09/764,370	<b>FILING DATE</b> 01/19/2001 <b>RULE</b>	<b>CLASS</b> 713	<b>GROUP ART UNIT</b> 2132	<b>ATTORNEY DOCKET NO.</b> 7451.0001-17
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## APPLICANTS

Karl L. Ginter, Beltsville, MD;  
Victor H. Shear, Bethesda, MD;  
Francis J. Spahn, El Cerrito, CA;  
David M. Van Wie, Eugene, OR;

FILE COPY

\*\* CONTINUING DATA \*\*\*\*\* *PD*

THIS APPLICATION IS A CON OF 09/335,465 06/17/1999 PAT 6,237,786  
WHICH IS A CON OF 08/780,393 01/08/1997 PAT 5,915,019  
WHICH IS A DIV OF 08/388,107 02/13/1995 ABN

\*\* FOREIGN APPLICATIONS \*\*\*\*\* *PD*

NONE

## IF REQUIRED, FOREIGN FILING LICENSE GRANTED

\*\* 04/27/2001

Foreign Priority claimed <input type="checkbox"/> yes <input checked="" type="checkbox"/> no	STATE OR COUNTRY MD	SHEETS DRAWING 146	TOTAL CLAIMS 49	INDEPENDENT CLAIMS 6
35 USC 119 (a-d) conditions met <input type="checkbox"/> yes <input checked="" type="checkbox"/> no <input type="checkbox"/> Met after Allowance				
Verified and Acknowledged <i>Justin Ginter</i> Examiner's Signature	<i>PD</i> Initials			

## ADDRESS

22852

## TITLE

Systems and methods for secure transaction management and electronic rights protection

<b>FILING FEE RECEIVED</b> 1602	FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT No. _____ for following:	<input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees ( Filing ) <input type="checkbox"/> 1.17 Fees ( Processing Ext. of time ) <input type="checkbox"/> 1.18 Fees ( Issue ) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit
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